

STATEMENT

Client Ref. #

PH-1569US-CIP

Examiner: To be assigned	Art Unit: 1644
--------------------------	----------------

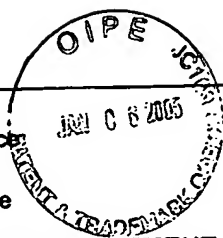
1

[illegible][illegible]

Date Considered:

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 (modified)
To: U.S. Department of Commerce
(PW FORM PAT-1449)
Patent and Trademark Office



Atty.
Dkt. No.

C-M#

Client Ref.

021286-0306473

PH-1569US-CIP

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

Applicant: Mikayama et al.

Appln. No.: 10/693,629

Filing Date: October 23, 2003

Date: January 3, 2005

Page 2 of 2

Examiner: To be assigned Art Unit: 1644

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

Examiner's

English
Abstract

Translation
Readily
Available

Initials*

Enclosed No Enclosed No

BR Yamada et al., "Generation of Mature Dendritic Cells from a CD14⁺ Cell Line (XS52) by IL-4, TNF- α , IL-1 β , and Agonistic Anti-CD40 Monoclonal Antibody", *J. Immunol.*, 1999; 163(10): 5331-5337, XP002302209

CR van Kooten et al., "Functions of CD40 on B cells, dendritic cells and other cells", *Curr. Opin. Immunol.*, 1997; 9(3): 330-337, XP004313522

DR Stout et al., "The many roles of CD40 in cell-mediated inflammatory responses", *Immunol. Today*, 1996; 17(10): 487-492, XP004034711

Examiner

Date Considered:

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

PHILIP AMBA 9/28/06

Atty. Dkt. No.	M#	Client Ref
	021286-0306473	

Applicant: Mikayama et al.	
Appln. No.: 10/693,629	
Filing Date: October 23, 2003	
Examiner: to be assigned	Art Unit: 1644

Page 2 of 6

[illegible][illegible]

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

PAT-1449 12/88

FORM PTO-1449 (modified)
To: U.S. Department of Commerce
(PW FORM PAT-1449)
Patent and Trademark Office

Atty. Dkt. No.	M#	Client Ref
	021286-0306473	

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

Applicant: Mikayama et al.

Appln. No.: 10/693,629

Filing Date: October 23, 2003

Date: July 26, 2004

Page 3 of 6

Examiner: to be assigned Art Unit: 1644

OTHER (Including in this order: Author, Title, Periodical Name, Date, Pertinent Pages, etc.)		English Abstract		Translation Readily Available	
Examiner's Initials*		Enclosed	No	Enclosed	No
<i>M</i>	ZR An et al.; Ligation of CD40 Potentiates Fas-Mediated Activation of the Cysteine Protease CPP32, Cleavage of Its Death Substrate PARP, and Apoptosis in Ramos-Burkitt Lymphoma B Cells; Cellular Immunology, vol. 181; 1997; pp. 139-152				
	AAR Baccam et al.; Membrane-bound CD154, but not CD40-specific antibody, mediates NF- κ B-independent IL-6 production in B cells; Eur. J. Immunol., vol. 29; 1999; pp. 3855-3866				
	BBR Barr et al.; Functional activity of CD40 antibodies correlates to the position of binding relative to CD154; Immunology, vol. 102; 2001; pp. 39-43				
	CCR Boon et al.; Preclinical assessment of anti-CD40 Mab 5D12 in cynomolgus monkeys; Toxicology, vol. 174; 2002; pp.53-65				
	DDR Challa et al.; Epitope-dependent synergism and antagonism between CD40 antibodies and soluble CD40 ligand for the regulation of CD23 expression and IgE synthesis in human B cells; Allergy, vol. 54; 1999; pp. 576-583				
	EER Clark et al.; Activation of human B cells mediated through two distinct cell surface differentiation antigens, Bp35 and Bp50; Proc. Natl. Acad. Sci. USA, vol. 83; June 1986; pp.4494-4498				
	FFR Clark et al.; CDw40 and BLCa-specific monoclonal antibodies detect two distinct molecules which transmit progression signals to human B lymphocytes; Eur. J. Immunol., vol. 18; 1988; pp. 451-457				
	GGR de Boer et al.; Generation of monoclonal antibodies to human lymphocyte cell surface antigens using insect cells expressing recombinant proteins; Journal of Immunological Methods, vol. 152; 1992; pp.15-23				
	HHR Diehl et al.; CD40 activation <i>in vivo</i> overcomes peptide-induced peripheral cytotoxic T-lymphocyte tolerance and augments anti-tumor vaccine efficacy; Nature Medicine, vol. 5, no. 7; July 1999; pp. 774-779				
	IIR Dullforce et al; Enhancement of T cell-independent immune responses <i>in vivo</i> by CD40 antibodies; Nature Medicine, vol. 4, no. 1; January 1998; pp. 88-91				
<i>me</i>	JJR Erickson et al.; Short-circuiting long-lived humoral immunity by the heightened engagement of CD40; The Journal of Clinical Investigation, vol. 109, no. 5; March 2002; pp. 613-620				

Examiner	Date Considered:
*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

Philip G. Hanger

9/28/04

FORM PTO-1449 (modified)
To: U.S. Department of Commerce
(PW FORM PAT-1449)
Patent and Trademark Office

Atty.
Dkt. No.

Inv.

Client Ref.

021286-0306473

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: Mikayama et al.

Appl. No.: 10/693,629

Filing Date: October 23, 2003

Date: July 26, 2004

Page

4

of

6

Examiner: to be assigned

Art Unit: 1644

OTHER (Including in this order: Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

Examiner's

Initials*

English

Abstract

Translation

Readily
Available

Enclosed

No

Enclosed

No

nk

KKR

Francisco et al.; Construction, Expression, and Characterization of BD1-G28-5 sFv, a Single-chain Anti-CD40 Immunotoxin Containing the Ribosome-inactivating Protein Bryodin 1; The Journal of Biological Chemistry, vol. 272, no. 39; September 1997; pp. 24165-24169

LLR

Francisco et al.; Agonistic Properties and in Vivo Antitumor Activity of the Anti-CD40 Antibody SGN-14; Cancer Research, vol. 60; June 2000; pp. 3225-3231

MMR

Funakoshi et al.; Inhibition of Human B-Cell Lymphoma Growth by CD40 Stimulation; Blood, vol. 83, no. 10; May 1994; pp. 2787-2794

NNR

Funakoshi et al.; Differential In Vitro and In Vivo Antitumor Effects Mediated by Anti-CD40 and Anti-CD20 Monoclonal Antibodies Against Human B-Cell Lymphomas; Journal of Immunotherapy, vol. 19, no. 2; 1996; pp. 93-101

OOR

Hasbold et al.; Properties of mouse CD40: cellular distribution of CD40 and B cell activation by monoclonal anti-mouse CD40 antibodies; Eur. J. Immunol., vol. 24; 1994; pp. 1835-1842

PPR

Hasbold et al.; Cell division number regulates IgG1 and IgE switching of B cells following stimulation by CD40 ligand and IL-4; Eur. J. Immunol., vol. 28; 1998; pp. 1040-1051.

QQR

Heath et al.; Monoclonal antibodies to murine CD40 define two distinct functional epitopes; Eur. J. Immunol., vol. 24; 1994; pp. 1828-1834

RRR

Hirano et al.; Inhibition of Human Breast Carcinoma Growth by a Soluble Recombinant Human CD40 Ligand; Blood, vol. 93, no. 9; May 1999; pp. 2999-3007

SSR

Karlsson et al.; Selection of human single chain antibodies against CD40; Immunology Letters, vol. 73, nos. 2, 3; September 2000; p. 161, abstract no. 358

TTR

Kedl et al.; CD40 stimulation accelerates deletion of tumor-specific CD8⁺ T cells in the absence of tumor-antigen vaccination; PNAS, vol. 98, no. 19; September 2001; pp. 10811-10816

UUR

Kwekkeboom et al.; CD40 plays an essential role in the activation of human B cells by murine EL4B5 cells; Immunology, vol. 79; 1993; pp. 439-444

nk

VVR

Kwekkeboom et al.; Helper effector function of human T cells stimulated by anti-CD3 mAb can be enhanced by cd-stimulatory signals and is partially dependent on CD40-CD40 ligand interaction; Eur. J. Immunol., vol. 24; 1994; pp. 508-517

Examiner

Date Considered:

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Phung G. M. 9/28/06

FORM PTO-1449 (modified)
To: U.S. Department of Commerce
(PW FORM PAT-1449)
Patent and Trademark Office

Atty.
Dkt. No.

M#

Client Ref.

021286-0306473

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

Applicant: Mikayama et al.

Appln. No.: 10/693,629

Filing Date: October 23, 2003

Date: July 26, 2004

Page

5

of

6

Examiner: to be assigned

Art Unit: 1644

OTHER (Including in this order: Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

Examiner's Initials*			English Abstract		Translation Readily Available	
			Enclosed	No	Enclosed	No
WWR		Lagerkvist et al.; Single, Antigen-Specific B Cells Used to Generate Fab Fragments Using CD40-Mediated Amplification or Direct PCR Cloning; BioTechniques, vol. 18, no. 5; 1995; pp. 862, 864-869				
XXR		Ledbetter et al.; Augmentation of Normal and Malignant B Cell Proliferation by Monoclonal Antibody to the B Cell-Specific Antigen BP50 (CDW40); The Journal of Immunology, vol. 138, no. 3; February 1987; pp. 788-794				
YYR		Ledbetter et al.; Agonistic Activity of a CD40-Specific Single-Chain Fv Constructed from the Variable Regions of mAb G28-5; Critical Reviews in Immunology, vol. 17; 1997; pp. 427-435				
ZZR		Malmberg Hager et al.; Affinity and Epitope Profiling of Mouse Anti-CD40 Monoclonal Antibodies; Scandinavian Journal of Immunology, vol. 57; 2003; pp. 517-524				
AAAR		Maxwell et al.; Contrasting the Roles of Costimulation and the Natural Adjuvant Lipopolysaccharide During the Induction of T Cell Immunity; The Journal of Immunology, vol. 168; 2002; pp. 4372-4381				
BBBR		Mazzei et al.; Recombinant Soluble Trimeric CD40 Ligand Is Biologically Active; The Journal of Biological Chemistry, vol. 270, no. 13; March 1995; pp. 7025-7028				
CCCR		Murphy et al.; Antibodies to CD40 Prevent Epstein-Barr Virus-Mediated Human B-Cell Lymphomagenesis in Severe Combined Immune Deficient Mice Given Human Peripheral Blood Lymphocytes; Blood, vol. 86, no. 5; September 1995; pp. 1946-1953				
DDDR		Paulie et al.; A p50 surface antigen restricted to human urinary bladder carcinomas and B lymphocytes; Cancer Immunology Immunotherapy, vol. 20; 1985; pp. 23-28				
EEER		Pound et al.; Minimal cross-linking and epitope requirements for CD40-dependent suppression of apoptosis contrast with those for promotion of the cell cycle and homotypic adhesions in human B cells; International Immunology, vol. 11, no. 1; 1999; pp. 11-20				
FFFR		Rolink et al.; The SCID but Not the RAG-2 Gene Product Is Required for μ - κ Heavy Chain Class Switching; Immunity, vol. 5; October 1996; pp. 319-330				

Examiner

Date Considered:

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Patent Counsel 9/28/06

FORM PTO-1449 (modified)
To: U.S. Department of Commerce
(PW FORM PAT-1449)
Patent and Trademark Office

Atty.
Dkt. No.

M#

Client Ref.

021286-0306473

**INFORMATION DISCLOSURE STATEMENT
BY APPLICANT**

Applicant: Mikayama et al.

Appln. No.: 10/693,629

Filing Date: October 23, 2003

Date: July 26, 2004

Page

6

of

6

Examiner: to be assigned

Art Unit: 1644

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

Examiner's

Initials*

English

Abstract

Translation

Readily
Available

Enclosed

No

Enclosed

No

GGGR

GGGR

Romano et al.; Triggering of CD40 Antigen Inhibits Fludarabine-Induced Apoptosis in B Chronic Lymphocytic Leukemia Cells; Blood, vol. 92, no. 3; August 1998; pp. 990-995

HHHR

HHHR

Schoenberger et al.; T-cell help for cytotoxic T lymphocytes is mediated by CD40-CD40L interactions; Nature, vol. 393; June 1998; pp. 480-483

IIIR

IIIR

Schwabe et al.; Modulation of Soluble CD40 Ligand Bioactivity with Anti-CD40 Antibodies; Hybridoma, vol. 16, no. 3; 1997; pp. 217-226

JJJR

JJJR

Sotomayor et al.; Conversion of tumor-specific CD4⁺ T-cell tolerance to T-cell priming through *in vivo* ligation of CD40; Nature Medicine, vol. 5, no. 7; July 1999; pp. 780-787

KKKR

KKKR

Stamenkovic et al.; A B-lymphocyte activation molecule related to the nerve growth factor receptor and induced by cytokines in carcinomas; The EMBO Journal, vol. 8, no. 5; 1989; pp. 1403-1410

LLLR

LLLR

Tomizuka et al.; Double trans-chromosomal mice: Maintenance of two individual human chromosome fragments containing Ig heavy and κ loci and expression of fully human antibodies; PNAS, vol. 97, no. 2; January 2000; pp. 722-727

MMMR

MMMR

van Mierlo et al.; CD40 stimulation leads to effective therapy of CD40⁺ tumors through induction of strong systemic cytotoxic T lymphocyte immunity; PNAS, vol. 99, no. 8; April 2002; pp. 5561-5566

NNNR

NNNR

Weng et al.; Human Anti-CD40 Antagonistic Antibodies Inhibit the Proliferation of Human B Cell Non-Hodgkin's Lymphoma; Program of the 43rd Annual Meeting of the American Society of Hematology; December 2001; page 466a, abstract no. 1947

OOOR

OOOR

Zhou et al.; An Agonist Anti-Human CD40 Monoclonal Antibody that Induces Dendritic Cell Formation and Maturation and Inhibits Proliferation of a Myeloma Cell Line; Hybridoma, vol. 18, no.6; 1999; pp. 471-478

Examiner

Date Considered:

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

Philip Gamba 9/28/04